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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 728-189 (YOR9-2000-0756)

First Inventor LOUIS L. HSU

Title METHOD AND APPARATUS FOR. ....

Express Mail Label No. EL 765221447 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 15]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. ☐ Oath or Declaration [Total Pages ]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Associate Power of Attorney  
Utility Appln. Data Sheet

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name

Paul J. Farrell, Esq.

Address

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11553

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Name (Print/Type)

Paul J. Farrell, Esq.

Registration No. (Attorney/Agent)

33,494

Signature

Date 1/25/01

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on  
date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 765221447 US addressed to: Assistant  
Commissioner for Patents, Box Patent Application, Washington, D.C. 20231

Dated: 1/25/01

George Likouros

1c960 U.S. PTO  
09/769080

01/25/01

Washington, D.C. 20231  
Sir:Date: January 25, 2001  
Express Mail Label: EL 765221447 US  
Date of Deposit: January 25, 2001

Transmitted herewith for filing is the Patent Application of:

Inventors: Louis L. Hsu, Rajiv V. Joshi, Carl Radens, Jack A. Mandelman, and Tsorng-Dih YuanFor: METHOD AND APPARATUS FOR GLOBALLY ALIGNING THE FRONT AND BACK SIDES OF A SUBSTRATEEnclosed are: [X] 8 sheets of specification; [X] 1 sheet(s) of Abstract;  
[X] 6 sheet(s) of claims; [X] 10 sheet(s) of drawing(s);

- [ ] An assignment of the invention to International Business Machines Corporation with Recordation Form.
- [ ] Declaration and Power of Attorney.
- [ ] A certified copy of a \_\_\_\_\_ application, from which priority under Title 35 USC §119 is claimed.
- [X] Associate Power of Attorney.

The filing fee has been calculated as shown below:

(Col. 1) (Col. 2)

FOR:	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	32 -20 =	12
INDEP CLAIMS	4 -3 =	1
MULTIPLE DEPENDENT CLAIMS PRESENTED		

OTHER THAN A  
SMALL ENTITY

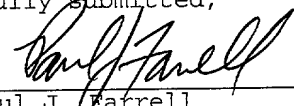
RATE	FEE
	\$ 710.00
X \$18 =	216.00
X \$80 =	80.00
+ 270 =	
TOTAL	\$1006.00

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

- [ ] A check in the amount of \$\_\_\_\_\_ to cover the [ ] filing fee(s), and a check in the amount of \$\_\_\_\_\_ to cover the [ ] recording fee are enclosed.
- [X] Please charge my Deposit Account No. 50-0510 in the amount of \$ 1,006.00.
- [X] The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.
- [X] Any additional filing fees required under 37 CFR 1.16.
- [X] Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

  
Paul J. Farrell  
Registration No. 33,494

Please address all  
correspondence to:  
DILWORTH & BARRESE, LLP  
333 Earle Ovington Boulevard  
Uniondale, NY 11553  
Tel: (516) 228-8484  
Fax: (516) 228-8516

Attorney for:  
IBM Corporation  
Intellectual Property Law Dept.  
P.O. Box 218  
Yorktown Heights, NY 10598

**CERTIFICATION UNDER 37 C.F.R. § 1.10**

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 25, 2001 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 765221447 US addressed to: Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.

  
George Mikouras

PATENT

Atty. Docket No. 728-189 (YOR9-2000-0756)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**BOX PATENT APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

UTILITY APPLICATION DATA SHEET UNDER 37 C.F.R. § 1.76

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): LOUIS L. HSU; RAJIV V. JOSHI; CARL RADENS;  
JACK A. MANDELMAN; and TSORNG-DIH YUAN

For: METHOD AND APPARATUS FOR GLOBALLY ALIGNING THE  
FRONT AND BACK SIDES OF A SUBSTRATE

Enclosed are:

- [X] 15 page(s) of specification  
(including **claims** and **abstract**)
- [X] 10 sheets of drawings [ ] formal [X] informal
- [ ] \_\_\_\_\_ page(s) of Declaration and Power of Attorney
- [ ] \_\_\_\_\_ page(s) An Assignment of the invention
- [X] 1 page(s) Associate Power of Attorney

Assignee Name: INTERNATIONAL BUSINESS MACHINES CORPORATION

Assignee Residence: Armonk, New York

CERTIFICATION UNDER 37 C.F.R. § 1.10

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George Likourezos  
(Type or print name of person mailing paper)

*George Likourezos*  
(Signature of person mailing paper)

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ ) 1,006.00**Complete if Known**

Application Number	
Filing Date	January 25, 2001
First Named Inventor	LOUIS L. HSU
Examiner Name	
Group Art Unit	
Attorney Docket No.	728-189 (YOR9-2000-0756)

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0510/IBM (Yorktown Heights)

Deposit Account Name IBM (Yorktown Heights)

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 710 201 355		Utility filing fee	\$710.00
106 320 206 160		Design filing fee	
107 490 207 245		Plant filing fee	
108 710 208 355		Reissue filing fee	
114 150 214 75		Provisional filing fee	

**SUBTOTAL (1)** (\$ ) 710.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
32	-20** = 12	18	\$216
4	-3** = 1	80	\$80
Multiple Dependent		270	\$0

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 18 203 9		Claims in excess of 20
102 80 202 40		Independent claims in excess of 3
104 270 204 135		Multiple dependent claim, if not paid
109 80 209 40		** Reissue independent claims over original patent
110 18 210 9		** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ ) 296.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65		Surcharge - late filing fee or oath	
127 50 227 25		Surcharge - late provisional filing fee or cover sheet	
139 130 139 130		Non-English specification	
147 2,520 147 2,520		For filing a request for <i>ex parte</i> reexamination	
112 920* 112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115 110 215 55		Extension for reply within first month	
116 390 216 195		Extension for reply within second month	
117 890 217 445		Extension for reply within third month	
118 1,390 218 695		Extension for reply within fourth month	
128 1,890 228 945		Extension for reply within fifth month	
119 310 219 155		Notice of Appeal	
120 310 220 155		Filing a brief in support of an appeal	
121 270 221 135		Request for oral hearing	
138 1,510 138 1,510		Petition to institute a public use proceeding	
140 110 240 55		Petition to revive - unavoidable	
141 1,240 241 620		Petition to revive - unintentional	
142 1,240 242 620		Utility issue fee (or reissue)	
143 440 243 220		Design issue fee	
144 600 244 300		Plant issue fee	
122 130 122 130		Petitions to the Commissioner	
123 50 123 50		Petitions related to provisional applications	
126 240 126 240		Submission of Information Disclosure Stmt	
581 40 581 40		Recording each patent assignment per property (times number of properties)	
146 710 246 355		Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710 249 355		For each additional invention to be examined (37 CFR § 1.129(b))	
179 710 279 355		Request for Continued Examination (RCE)	
169 900 169 900		Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ )**SUBMITTED BY**

Name (Print/Type)	Paul J. Farrell, Esq.	Registration No. (Attorney/Agent)	33,494	Telephone	(516) 228-8484
Signature	<i>Paul J. Farrell</i>	Date	1/25/01		

Complete (if applicable)

**CERTIFICATION UNDER 37 C.F.R. § 1.10**

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Dated: 1/25/01

*George Likouzeos*  
George Likouzeos